

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
13 June 2002 (13.06.2002)

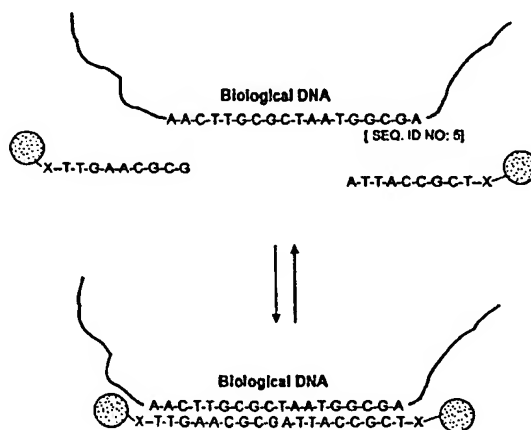
PCT

(10) International Publication Number  
WO 02/046472 A3

- (51) International Patent Classification<sup>7</sup>: C12Q 1/68, (72) Inventors; and  
C07H 21/00 (75) Inventors/Applicants (for US only): MIRKIN, Chad,  
A. [US/US]; 111 16th Street, Wilmette, IL 60091  
(21) International Application Number: PCT/US01/46418 (US). LETSINGER, Robert, L. [US/US]; 316 Third  
Street, Wilmette, IL 60091 (US). MUCIC, Robert, C.  
(22) International Filing Date: 7 December 2001 (07.12.2001) [US/US]; 1600 Bel Aire Drive, Glendale, CA 91201 (US).  
STORHOFF, James, J. [US/US]; 610 Michigan Avenue,  
(25) Filing Language: English Apt. 3, Evanston, IL 60202 (US). ELGHANIAN, Robert  
[US/US]; Apartment 2, 4935 West Louis Avenue, Skokie,  
(26) Publication Language: English IL 60077 (US). TATON, Thomas, Andrew [US/US];  
2389 Greenbrier Circle, Little Canada, MN 55117 (US).  
GARIMELLA, Viswanadham [US/US]; 1915 Maple,  
(30) Priority Data: Evanston, IL 60201 (US). LI, Zhi [US/US]; 911 Shermand  
Avenue, Apartment 307, Evanston, IL 60202 (US). PARK,  
So-Jung [US/US]; 800 Custer Avenue, Apartment #3H,  
Evanston, IL 60202 (US).  
60/254,392 8 December 2000 (08.12.2000) US (74) Agent: MCDONNELL, John, J.; McDonnell Boehnen  
Hulbert & Berghoff, Suite 3200, 300 South Wacker Drive,  
60/254,418 8 December 2000 (08.12.2000) US Chicago, IL 60606 (US).  
60/255,235 11 December 2000 (11.12.2000) US (81) Designated States (national): AE, AG, AL, AM, AT, AU,  
60/255,236 11 December 2000 (11.12.2000) US AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU,  
09/760,500 12 January 2001 (12.01.2001) US CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH,  
09/820,279 28 March 2001 (28.03.2001) US GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC,  
60/282,640 9 April 2001 (09.04.2001) US  
09/927,777 10 August 2001 (10.08.2001) US  
(71) Applicant (for all designated States except US):  
NANOSPHERE, INC. [US/US]; 1818 Skokie Boulevard,  
Northbrook, IL 60062 (US).

[Continued on next page]

(54) Title: NANOPARTICLES HAVING OLIGONUCLEOTIDES ATTACHED THERETO AND USES THEREFOR



(57) Abstract: The invention provides methods of detecting a nucleic acid. The methods comprise contacting the nucleic acid with one or more types of particles having oligonucleotides attached thereto. In one embodiment of the method, the oligonucleotides are attached to nanoparticles and have sequences complementary to portions of the sequence of the nucleic acid. A detectable change (preferably a color change) is brought about as a result of the hybridization of the oligonucleotides on the nanoparticles to the nucleic acid. The invention also provides compositions and kits comprising particles. The invention further provides methods of synthesizing unique nanoparticle-oligonucleotide conjugates, the conjugates produced by the methods, and methods of using the conjugates. In addition, the invention provides nanomaterials and nanostructures comprising nanoparticles and methods of nanofabrication utilizing nanoparticles. Finally, the invention provides a method of separating a selected nucleic acid from other nucleic acids.



LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PH, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, US, UZ, VN, YU, ZA, ZW.

(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

**Published:**

- with international search report
- before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments

(88) Date of publication of the international search report:

4 September 2003

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

## INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 01/46418

## A. CLASSIFICATION OF SUBJECT MATTER

IPC 7 C12Q1/68 C07H21/00

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

IPC 7 C12Q

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

EPO-Internal, MEDLINE, CHEM ABS Data, BIOSIS, EMBASE, WPI Data, PAJ

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	LETSINGER R L ET AL: "Use of a steroid cyclic disulfide anchor in constructing gold nanoparticle- oligonucleotide conjugates." BIOCONJUGATE CHEMISTRY, (2000 MAR-APR) 11 (2) 289-91., XP002205939 ----	
A	WO 98 04740 A (UNIV NORTHWESTERN ;MIRKIN CHAD A (US); MUCIC ROBERT C (US); ELGHAN) 5 February 1998 (1998-02-05) ----	
A	WO 99 60169 A (MOLECULAR MACHINES INC) 25 November 1999 (1999-11-25) ----	
A	WO 98 17317 A (SUEDEDEUTSCHE KALKSTICKSTOFF ;BAYER ERNST (DE); FRITZ HANS (DE); MA) 30 April 1998 (1998-04-30) ----- -/-	

☒ Further documents are listed in the continuation of box C.☒ Patent family members are listed in annex.

## \* Special categories of cited documents:

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \*&\* document member of the same patent family

Date of the actual completion of the international search

4 July 2003

Date of mailing of the international search report

14/07/2003

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl  
Fax (+31-70) 340-3016

Authorized officer

Molina Galan, E

## INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 01/46418

## C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	WO 93 25709 A (MEDICAL RES COUNCIL ;HAWKINS TREVOR LEONARD (US)) 23 December 1993 (1993-12-23) ---	
A	US 5 900 481 A (LOUGH DAVID M ET AL) 4 May 1999 (1999-05-04) ---	
A	LETSINGER ET AL: "Chemistry of oligonucleotide -gold nanoparticle conjugates" PHOSPHORUS, SULFUR AND SILICON AND THE RELATED ELEMENTS (1999), 144-146, 359-362, XP008019085 ---	
T	LI ZHI ET AL: "Multiple thiol-anchor capped DNA -gold nanoparticle conjugates." NUCLEIC ACIDS RESEARCH, (2002 APR 1) 30 (7) 1558-62., XP002205940 -----	

# INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US 01/46418

## Box I Observations where certain claims were found unsearchable (Continuation of item 1 of first sheet)

This International Search Report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claims Nos.:  
because they relate to subject matter not required to be searched by this Authority, namely:
  
2. ☒ Claims Nos.: 1-626 (all partially)  
because they relate to parts of the International Application that do not comply with the prescribed requirements to such an extent that no meaningful International Search can be carried out, specifically:  
see FURTHER INFORMATION sheet PCT/ISA/210
  
3. ☐ Claims Nos.:  
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

## Box II Observations where unity of invention is lacking (Continuation of item 2 of first sheet)

This International Searching Authority found multiple inventions in this International application, as follows:

1. ☐ As all required additional search fees were timely paid by the applicant, this International Search Report covers all searchable claims.
  
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
  
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this International Search Report covers only those claims for which fees were paid, specifically claims Nos.:
  
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this International Search Report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

- ☐ The additional search fees were accompanied by the applicant's protest.
- ☐ No protest accompanied the payment of additional search fees.

FURTHER INFORMATION CONTINUED FROM PCT/ISA/ 210

Continuation of Box I.2

Claims Nos.: 1-626 (all partially)

In view of the large number of (independent) claims presently on file and their wording, which render it difficult, if not impossible, to determine the matter for which protection is sought, the present application fails to comply with the clarity and conciseness requirements of Article 6 PCT (see also Rule 6.1(a) PCT) to such an extent that a meaningful search is impossible.

An effort was nevertheless made by the ISA to identify a main subject on which a meaningful search could be performed. The subject apparently most important for the applicant is the preparation of oligonucleotide-nanoparticle conjugates using linkers comprising a steroid residue attached to a cyclic disulfide (cf page 61, line 18 to page 62, line 24). The resulting conjugates have, according to the applicant, an unexpectedly improved sensitivity and surprising stability. This was the only indication enabling the ISA to focus the search within the hundreds of possible embodiments disclosed in the application. The search has therefore been globally performed for the preparation of oligonucleotide-nanoparticle conjugates using linkers comprising a steroid residue attached to a cyclic disulfide, the resulting conjugates and their uses in nucleic acid detection.

The applicant's attention is drawn to the fact that claims, or parts of claims, relating to inventions in respect of which no international search report has been established need not be the subject of an international preliminary examination (Rule 66.1(e) PCT). The applicant is advised that the EPO policy when acting as an International Preliminary Examining Authority is normally not to carry out a preliminary examination on matter which has not been searched. This is the case irrespective of whether or not the claims are amended following receipt of the search report or during any Chapter II procedure.

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No.

PCT/US 01/46418

Patent document cited in search report		Publication date	Patent family member(s)	Publication date
WO 9804740	A	05-02-1998	AU 4043497 A	20-02-1998
			EP 0918885 A1	02-06-1999
			JP 2000516460 T	12-12-2000
			US 2003087242 A1	08-05-2003
			WO 9804740 A1	05-02-1998
			US 6361944 B1	26-03-2002
			US 6506564 B1	14-01-2003
			US 6495324 B1	17-12-2002
			US 6417340 B1	09-07-2002
			US 2002155442 A1	24-10-2002
			US 2003022169 A1	30-01-2003
			US 2002137058 A1	26-09-2002
			US 2002172953 A1	21-11-2002
			US 2003059777 A1	27-03-2003
			US 2003049630 A1	13-03-2003
			US 2002146720 A1	10-10-2002
			US 2002164605 A1	07-11-2002
			US 2002182611 A1	05-12-2002
			US 2002155458 A1	24-10-2002
			US 2002137070 A1	26-09-2002
			US 2002127574 A1	12-09-2002
			US 2002137071 A1	26-09-2002
			US 2003049631 A1	13-03-2003
			US 2002155459 A1	24-10-2002
			US 2003054358 A1	20-03-2003
			US 2002160381 A1	31-10-2002
			US 2002155461 A1	24-10-2002
			US 2002155462 A1	24-10-2002
			US 2002137072 A1	26-09-2002
			US 2002182613 A1	05-12-2002
			US 2003044805 A1	06-03-2003
WO 9960169	A	25-11-1999	US 6287765 B1	11-09-2001
			AU 4194799 A	06-12-1999
			CA 2328599 A1	25-11-1999
			EP 1080231 A1	07-03-2001
			WO 9960169 A1	25-11-1999
			US 2002034757 A1	21-03-2002
WO 9817317	A	30-04-1998	AT 220559 T	15-08-2002
			AU 6810898 A	15-05-1998
			DE 19746362 A1	30-04-1998
			DE 59707744 D1	22-08-2002
			WO 9817317 A2	30-04-1998
			EP 0934082 A2	11-08-1999
			JP 2001503041 T	06-03-2001
			US 2003087436 A1	08-05-2003
WO 9325709	A	23-12-1993	AU 4343993 A	04-01-1994
			AU 4344093 A	04-01-1994
			WO 9325912 A2	23-12-1993
			WO 9325709 A1	23-12-1993
US 5900481	A	04-05-1999	AT 204290 T	15-09-2001
			AU 735416 B2	05-07-2001
			AU 5106998 A	29-05-1998
			AU 746737 B2	02-05-2002
			AU 5247298 A	29-05-1998

## INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 01/46418

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
US 5900481	A	DE 19782095 T0	23-03-2000
		DE 19782097 T0	14-10-1999
		DE 69706187 D1	20-09-2001
		DE 69706187 T2	11-04-2002
		EP 1164203 A2	19-12-2001
		EP 0954612 A2	10-11-1999
		EP 0937097 A1	25-08-1999
		HK 1020197 A1	30-11-2001
		JP 2001501967 T	13-02-2001
		NO 992167 A	05-07-1999
		NO 992168 A	06-07-1999
		WO 9820019 A1	14-05-1998
		WO 9820166 A2	14-05-1998
		US 2002042112 A1	11-04-2002
		US 6133436 A	17-10-2000